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Item 2 of the provisional agenda
Adoption of the agenda and other organizational matters

Provisional agenda and organization of work

1. Election of officers.

2. Adoption of the agenda and other organizational matters.

3. Searching for a bottom-up approach and methodologies for developing foundations and principles of sound public administration.

Documentation

The Secretariat will submit a paper for follow-up discussion on what constitutes the principles, foundations, quality and effectiveness of public administration (E/C.16/2006/3). It is envisaged that the Committee of Experts will reach consensus on various recommendations for consideration by the Economic and Social Council.

4. Innovations in governance and public administration for the achievement of the internationally agreed development goals, including the Millennium Development Goals.

Documentation

The Secretariat will submit a paper for discussion on the key issues concerning innovations in governance and public administration and their relevance for the achievement of the Millennium Development Goals (E/C.16/2006/2).

5. Compendium of basic terminology in governance and public administration.

Documentation

The Secretariat will submit a paper for discussion on the proposed definitions of basic concepts in governance and public administration (E/C.16/2006/4).

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6. Review of United Nations activities in the area of public administration.

Documentation

The Secretariat will present the highlights of the United Nations programme on public administration and development for the past biennium (E/C.16/2006/5). Presentations will also be made on the *World Public Sector Report*, the United Nations Online Network in Public Administration and Finance (UNPAN), the Seventh Global Forum on Reinventing Government and its related regional preparatory meetings.

7. Proposed programme of work and agenda for the sixth session of the Committee of Experts.

The Committee of Experts will review its programme of work and make recommendations to the Economic and Social Council on the agenda for its sixth session.

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Item 4 of the provisional agenda*
Innovations in governance and public administration for the achievement of the internationally agreed development goals, including the Millennium Development Goals

Innovations in governance and public administration for the achievement of the internationally agreed development goals, including the Millennium Development Goals

Note by the Secretariat

Summary

The present paper attempts to highlight and raise key issues on innovations in governance and public administration and their relevance for the achievement of the Millennium Development Goals, including issues such as why Governments should innovate, what is innovation in governance and public administration, what are the emerging principles and strategies in governance and public administration innovation for achieving the Millennium Development Goals, what facilitates or hinders innovation in public administration, what can Governments do to create an enabling environment for innovation in public administration, and what are the tools and methodologies for sharing and adapting innovations in governance and public administration. The report also seeks to elicit recommendations from the members of the Committee on (a) how to improve sharing of knowledge on innovations in governance to achieve internationally agreed goals, including the Millennium Development Goals; (b) how the international community can better assist Member States in replicating and adapting innovations; and (c) how to foster policies that encourage innovation in the public sector.

* E/C.16/2006/1.

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I. Introduction

1. Although some progress in achieving the Millennium Development Goals has been made across the world, it has not been as significant as hoped for. According to the United Nations Millennium Project report, "Some regions have made little progress or even experienced reversals in several areas. Many countries have seen economic growth while others have experienced stagnation".[1] Despite this mixed picture, reaching the Millennium Development Goals by 2015 is not impossible, but it calls for breaking with business as usual. The Secretary-General, Kofi Annan, stated that. "Success will require sustained action across the entire decade between now and the deadline. It takes time to train the teachers, nurses and engineers; to build the roads, schools and hospitals; to grow the small and large businesses able to create the jobs and income needed." (See A/59/2005, para. 31.) As highlighted by the General Assembly in its resolution 57/277, "efficient, accountable, effective and transparent public administration, at both the national and international levels, has a key role to play in the implementation of internationally agreed goals". The Committee of Experts on Public Administration, at its session in April 2005, also underscored that more just and fair societies, as stated in the Millennium Development Goals, call for a wider role for public administration in addressing inequalities and the situation of the poor.[2] Moreover, the Economic and Social Council, in its resolution 2005/55, stressed that participatory processes of Government need to be deepened to ensure the engagement of citizens to achieve the Millennium Development Goals.

2. While there is wide consensus at the international level on what should be done to accelerate development and prosperity, there seems to be less shared knowledge and capacity on how to do so. Knowledge on how to achieve the Millennium Development Goals exists, but it is often fragmented and spread among several countries. In fact, it is not unusual that a Government has been able to address challenges in one development area, but not in others. In order to capitalize on existing knowledge, the General Assembly recommended, in its resolution 57/277, that the exchange of experiences related to the role of public administration in the implementation of internationally agreed goals, including those contained in the Millennium Declaration, be encouraged. Furthermore, in its resolution 60/34, the General Assembly agreed that the United Nations should promote innovation in government and public administration and stressed the importance of making more effective use of United Nations Public Service Day and the United Nations Public Service Awards in the process of revitalizing public administration by building a culture of innovation, partnership and responsiveness. In its resolution 2005/55, the Economic and Social Council further recognized that all Member States, particularly those from the developing countries, can greatly benefit from peer learning and the sharing of experiences about innovation and initiatives in the public sector.

3. Sharing knowledge on innovations and successful practices can provide Governments with a set of concrete and workable options on how to achieve internationally agreed goals. Focusing on innovations affords the opportunity to shift attention from what Governments should do to respond to increasingly complex challenges to how they can do it. Learning from other countries can save time, inspire new reforms and, in some cases, help countries to leapfrog stages of development. Sharing successful practices is relevant, not so much in the sense that countries can transfer an existing model from another country into their own

administrative system, but rather that they can adapt elements of successful practices from other contexts to their internal circumstances, and most importantly that this process can serve as an incentive to jump-start other similar initiatives. Besides, focusing on innovations, rather than exclusively on challenges, is a way to provide incentives for reform and to encourage a positive and constructive outlook on development.

4. Aware of the tremendous potential of this approach to development efforts, the Committee of Experts on Public Administration decided to devote part of its fifth session to the discussion of innovation in public administration for the achievement of the internationally agreed goals, including the Millennium Development Goals. To facilitate the work of the Committee, this paper attempts to highlight and raise key issues on innovations in governance and their relevance for the achievement of the Millennium Development Goals,[3] as well as to elicit recommendations from the members of the Committee on (a) how to improve sharing of knowledge on innovations in governance to achieve the internationally agreed goals, including the Millennium Development Goals, (b) how the international community can better assist Member States in replicating and adapting innovations, and (c) how to foster policies that encourage innovation in the public sector.

II. Why should Governments innovate?

5. These are challenging times for Governments around the world since they need to respond to increasingly complex demands from their citizens and to significant changes in their global environments. On the one hand, Governments are grappling with a number of difficult social and economic issues, including poverty eradication, unemployment, poor education systems, health epidemics (including HIV/AIDS and the avian influenza) and environmental degradation. On the other hand, they are attempting to readjust their policies and skills to effectively integrate into the world economy. All of these challenges are putting a strain on the capacity of the State to accomplish its mission effectively.

6. Within a framework of extreme diversity in local conditions and situations, it is possible to identify four major trends worldwide of State and public administration transformation. The first trend relates to the construction or reconstruction of a State that operates according to the rule of law. The second one relates to the revitalization of the State and public administration. The third trend has to do with the reconfiguration of the role of the State. A fourth trend, which has emerged in the past years, is related to a growing demand to make democracy more meaningful and to allow for more opportunities of participation in policymaking.[4]

7. Overall, Governments are faced with three main domestic challenges. First, they need to operate and provide more far-reaching and higher quality services with reduced resources and limited operational capacities. That is to say, Governments need to use their resources and build capacities not only more effectively, but also more creatively by, for example, enlisting the support of the private sector and civil society in service delivery. Second, they need to make public institutions more accountable, responsive and effective by promoting a more citizen-oriented public administration. Third, and most importantly, they need to respond more adequately to the demands of citizens for greater participation. Although Government is still central to society, it is now widely recognized that governance is not the sole

prerogative of Governments, and that civil society and the private sector also have important roles to play in this sphere. Citizens no longer perceive themselves as passive "consumers" of Government services, but as dealing more effectively with emerging issues. Deepening democracy in order to provide opportunities not only for improved representation, but also for more active participation and engagement in public affairs requires innovative institutional mechanisms, processes and policies.

8. As a consequence, several countries around the world are attempting to revitalize their public administration, make it more proactive, more efficient, more accountable and, especially, more service-oriented. To accomplish this transformation, Governments are introducing innovations in their organizational structure, practices, capacities and how they mobilize, deploy and utilize the human, material, information, technological and financial resources for service delivery to remote, disadvantaged and challenged people.

9. Experience has shown that introducing innovations in governance has a number of positive results. First, it can help maximize the utilization of resources and capacities to create public value and encourage a more open and participatory culture in government, therefore improving good governance in general. Second, by improving the image and services of the public sector, it can help Governments regain people's trust and restore legitimacy. Third, innovation in governance can boost the pride of civil servants working in the public sector, as well as encourage a culture of continuous improvement. Innovations can have an inspirational capacity, which builds a sense of the possible among public officials. Fourth, although innovations are limited governance interventions or microlevel initiatives, they can produce a domino effect in that a successful innovation in one sector can open the door to innovations in other areas. Each innovation can create the opportunity for a series of innovations leading to a favourable environment for positive change. Innovations can contribute towards building an institution, and change the relationship between levels of Government and within Government departments. A recent study on Mexico[5] shows that innovations are strongly contributing to the democratization of institutions and processes. Thus, although an innovation per se is a small process, it can trigger a bigger process of transformation of the State. Accordingly, innovations can help create new democratic spaces and thereby stimulate good governance by reinventing Government. This is certainly true for countries that are slowly building democratic institutions. It is also true for advanced democracies since good government is a key factor in strengthening democratic governance. It is well known that even in mature democracies, State institutions are not always well equipped to face complex emerging challenges. In fact, although the basic values behind any constitutional democracy are universal and well accepted by many countries around the world, how well institutions work and adequately reflect those values is an open-ended process.

10. As can be easily inferred, innovations in governance and public administration should not be regarded as a fashion or trend. Governments that have dealt effectively with increasingly complex national, regional and international challenges have introduced innovative ideas and practices in governance and public administration systems and processes. It is also very important to bear in mind that innovation is not an end in itself, but a means to improve public administration in order to enhance the quality of life of all citizens. In addition, innovations should be seen as complementary mechanisms to reinforcing democratic governance, but not

as a substitute for existing institutions, including Parliament, public administration, etc. Furthermore, each organization in the public sector should decide how much innovation it needs, and how to balance stability and continuity, on the one hand, and innovation, on the other. Not everything in the public sector can be about innovation. Finally, it should be mentioned that innovations are not a "special benefit" of countries with developed administrative systems. As shown by the increasing number of applications submitted to the United Nations Public Service Awards, successful practices are initiated both in developed and developing countries and have been transferred from the latter to developed countries (e.g., the integrated public services system launched by the state of Bahia in Brazil was adopted by Portugal and others).

III. What is innovation in governance and public administration?

11. Documenting and sharing innovations in public administration is a very important tool for fostering innovation in Government and promoting development. Despite the wealth of good examples around the world, the challenge is to distinguish between cases that are indeed innovations and cases that do not fall in this category. In other words, what is presented as an innovative practice is not always a successful long-term experience that can be disseminated to other countries. To assist Member States that are interested in replicating innovations, it is necessary to define what is meant by innovation and by "best practice".[6]

12. According to the report of the Preparatory Committee for the United Nations Conference on Human Settlements, presented to the General Assembly,[7] "best practices" (a) have a demonstrable and tangible impact on improving people's quality of life; (b) are the result of effective partnerships between the public, private and civil society sectors; and (c) are socially, economically and environmentally sustainable. The General Assembly, in its follow-up to the Habitat Agenda, further recommends that best practices be used as one of the two key instruments for assessing progress in achieving its twin goals of shelter for all and sustainable urbanization (see General Assembly resolution S-25/2).

13. The concept of best or successful practices is widely used to distinguish exemplary or improved performance in organizations. It can be defined as an activity or procedure that has produced outstanding results and could be adapted to improve effectiveness and efficiency in another situation. For the Joint United Nations Programme on HIV/AIDS, focusing on "best practice" means accumulating and applying knowledge about what works and what does not work in different situations and contexts. It is both the lessons learned and the continuing process of learning, feedback, reflection and analysis (what works, how and why, etc.). The focus of analysis is on "success stories" in order to discover the chain of practices, the ways of doing things that achieve results.

14. The conceptual distinction between innovations and "best/successful practices" is, however, contested. Some believe that if innovations are sustainable, they become successful practices. From that perspective, the difference between the two concepts lies in the time frame. Others maintain instead that one of the defining criteria of an innovation is sustainability. It is also interesting to note that since the field of innovation in governance is not as well-developed as that of innovations in the private sector, there are different definitions of what an innovation in

governance and public administration is. For example, one of the criteria to select winners for the United Nations Public Service Awards is the introduction of a new concept, i.e., Government introduces a unique idea, distinctively new approach to problem solution or unique policy or implementation design, in the context of a given country or region, for transparency, accountability and responsiveness of public service.[8] The Impumelelo Innovations Awards Trust in South Africa,[9] which rewards exceptional projects involving partnerships with the public sector that enhance the quality of life of poor communities in innovative ways, uses the following evaluation criteria to define an innovation:

- **Innovativeness**: the extent to which initiative, creativity and new procedures have been developed to address major poverty related issues
- **Government involvement**: involvement of Government and partnerships
- **Effectiveness**: the extent to which the project has achieved or is on its way to achieving its stated objectives and other socially desirable outcomes
- **Poverty impact**: the demonstrable effect of the project on improving the quality of life of poor communities and individuals
- **Sustainability**: the viability and sound functioning of the project within constraints, such as funding, staffing and so forth
- **Replicability**: the value of the project in teaching others new ideas and good practices for poverty reduction programmes

15. The American Government Awards programme selection of innovations in the United States uses four criteria, which include:

- **Novelty**: a leap of creativity
- **Effectiveness**: tangible results
- **Significance**: addresses a problem of public concern
- **Transferability**: replicability and scalability

16. In general terms, innovation is a creative idea involving implementation, which is different from invention. It is the act of conceiving and implementing a new way of achieving a result and/or performing work. An innovation may involve the incorporation of new elements, a new combination of existing elements or a significant change or departure from the traditional way of doing things. It refers to new products, new policies and programmes, new approaches and new processes. Public sector management innovation may also be defined as the development of new policy designs and new standard operating procedures by public organizations to address public policy problems. Thus, an innovation in public administration is an effective, creative and unique answer to new problems or a new answer to old problems. Furthermore, an innovation is not a closed and complete solution, but an open solution, transformed by those who adopt it.

17. There are different types of innovations in public administration, including (a) institutional innovations, which focus on the renewal of established institutions and/or the establishment of new institutions; (b) organizational innovation, including the introduction of new working procedures or management techniques in public administration; (c) process innovation, which focuses on the improvement of the quality of public service delivery; and (d) conceptual innovation, which focuses

on the introduction of new forms of governance (e.g., interactive policymaking, engaged governance, people's budget reforms, horizontal networks). The areas of innovation are also varied, including human resources development and management, public service delivery, information and communication technology (ICT) applications in government operations, decentralization, etc.

IV. What are the emerging principles and strategies in governance and public administration innovation for achieving the Millennium Development Goals?

18. A number of innovative and successful solutions are being applied to governance and public administration challenges, including the Millennium Development Goals. Examining innovative cases of Government services selected by the United Nations Public Service Awards and other internationally renowned awards, a number of key principles and strategies for innovation in governance emerge as prominent: (a) integrating services; (b) decentralizing service delivery; (c) utilizing partnerships; (d) engaging citizens; and (e) taking advantage of ICT.

Integrating services

19. With public sectors offering an increased number of services, the focus is shifting from what kinds of services are provided to how they are provided. In several countries, a host of services are not only being provided, but are increasingly coordinated and customized to fit the needs of the citizens. Back-office operations are no longer the decisive factor in where the citizen needs to go; instead, these operations are tied together by either integrating early in the value chain or by bundling services together in a single entry point for the citizens. Regardless of whether action is targeted upstream or downstream, the result is integration in products and services offered by public authorities. In the Philippines, gender and development mainstreaming efforts saw the creation of the Davao Medical Center, which in turn set up the Women and Children Protection Unit, a one-stop family crisis intervention centre that provides legal, psychiatric and medical services to its patients. In Brazil, the Bahia's Citizen Assistance Service Centres bring together federal, state, and municipal agencies in a single location to offer multiple Government services. The centres have been placed in locations convenient to the public, such as shopping malls and major public transportation hubs. The concept of the Citizen Assistance Service Centres one-stop shop has been successfully adapted by a number of developed and developing countries, such as Portugal, Mozambique and South Africa. Within this category, there are several innovations, including client-focused one-stop service delivery for social services and mobile service delivery for multiservice clients in remote areas and other similar innovations.

Decentralizing service delivery

20. Bringing services and public officials closer to people (e.g., from national to regional level) often ensures a higher level of responsiveness and customization and thus increased satisfaction on behalf of citizens and businesses. Decentralized service delivery also allows for greater involvement of citizens in providing feedback on public services, and therefore for a better match between local services and local needs. In economic terms, maintaining a solely centralized system of

service delivery and monitoring also tends to curb development outside of urban centres due to prohibitive transaction costs for either the supplier of services (i.e., Government) or the users (i.e., citizens and business). In Morocco, for example, the PAGER project, which brings water to the rural population, would not be feasible were it not for the devolution of the operation and maintenance of water facilities to local communities. So far the project has substantially increased the rate of the rural population with access to drinking water from 14 per cent in 1994 to 55 per cent at the end of 2003. In a knock-on effect, apart from the obvious benefits of clean water and adequate sanitation, PAGER has also had a huge impact on primary school enrolment in rural areas, where the attendance for girls has surged from 30 per cent to 51 per cent with young children, in particular girls, previously supplying families with water. In another example from Morocco, the establishment of regional control facilities for controlling fresh exports of fruit and vegetable had a significant impact on the competitiveness of the sector. Previously, business incurred prohibitive costs to compete successfully in the international market because of the high rejection rates of products having to be transported to a small number of centralized facilities far away from the source of processing. In Indonesia, in the Tanah Datar District of West Sumatra, decentralization was carried out in 2001, and as a result policies were implemented by the District Education Department in Tanah Datar to increase the quality of teaching in schools with the aim of improving the condition of students from poor families. Particularly innovative were the policies to limit the number of students in each class, to create a reward-system for high performing students and teachers and to institute a performance-based contracting of headmasters.[10] In general, recent innovative strategies include decentralized policy development, implementation and evaluation, as well as decentralized budgeting and expenditure management assessments.

Utilizing partnerships

21. Public-private partnerships and joined-up government or inter-agency collaboration are all becoming more common with the general public expecting greater participation, better utilization of resources and increased efficiency in service delivery. Considering the lack of precedents, this often requires innovative approaches unlike earlier compartmentalized ("silo") administration. In Greece, for example, the 1502 call centre takes advantage of the expertise of the national telecommunication agency by allowing operators within a special service of the agency to provide information regarding available services. In addition, the responsible ministry has made special arrangements, both with the agency and the postal services to keep prices affordable. Also, the establishment of consultative groups and committees, which include public officials and members of the business community and which deal with policy/budgeting issues, is now rapidly being adopted by other countries. In Jordan, the national network for poverty alleviation, established in 1998, has connected Government ministries, national commissions, non-governmental organizations and activists into a productive network and demonstrated the dramatic impact that multidisciplinary groups can have in promoting national poverty alleviation and social development. In the United Republic of Tanzania, the safer cities approach encourages partnerships between national Governments, city governments, neighbourhoods and citizens. The approach, which was launched in 1996 by the United Nations Human Settlements Programme (UN-HABITAT), aims to provide local authorities (cities, municipalities and towns) with technical support to develop sustainable ways of preventing

violence and crime. In a collaborative effort, priorities were identified, which eventually led to the development of a crime prevention strategy that has created awareness, improved relations between the police and the population and committed local authorities to continuous action.

Engaging citizens

22. Citizens are being increasingly engaged in providing inputs into government policy formulation and monitoring processes. A number of countries have developed strategies to encourage the active participation of citizens in, for example, budgeting and the fiscal processes.[11] In Thailand, the Constitution has been reformed to ensure public hearings in public programmes. In Australia, the State Government of Queensland has established a community engagement division within the Premier's Department to engage the community in relevant policy deliberations to ensure social justice, equity and relevancy in public policies and programmes, especially at the regional level. Online consultations through the ConsultQLD are also available, facilitating open public consultation on critical issues currently being considered by the Government. In India, the Government of the National Capital Territory of Delhi established an innovative citizen-government approach to governance. Through the Bhagidari Cell, networks of local groups have grown from 20 citizen groups in 2000 to more than 1,600 citizen groups representing about 3 million people today. These networks discuss problems hampering effective delivery of services with government representatives and then produce joint workable solutions in areas such as water supply, sanitation, schools, power supply and urban transport. Further, many countries, especially at the city level, now practice what is known as the citizens' report card system, a citizen-based monitoring and public accountability system.[12]

Taking advantage of information and communication technology

23. As the 2003 *World Public Sector Report*[13] points out, the use of internet-based services as a way to cut red tape or to spread digital infrastructure has expanded rapidly throughout public sectors in recent years. In Cameroon, for example, a new personnel and payroll data system allows better control of procedures, including the elimination of listing non-existent employees on the payroll ("ghost workers"). ICT applications, in general, have been introduced to upgrade service delivery in terms of wider access to services, enhanced efficiency and timeliness, a more "citizen-centred" approach to services, and greater effectiveness, relevance and quality of services. Broadband[14] access policies, for example, are on the ICT agenda of most governments, since they are considered to be a key enabler of economic growth and distance education, and they make possible the special treatment of people in remote areas where advanced medical care is scarce. The Republic of Korea, for instance, expects pervasive broadband to increase industrial efficiency, create e-business and jobs, improve global competitiveness, and add the equivalent of several thousand dollars to per capita GDP. Yet, internet-based service is also a means of advancing and consolidating transparency and democracy into the overall practice of public administration. The application of ICT in local government operations, for example by establishing electronic public information offices, has enabled local governments — policymakers and public officials — to better interact with the public, particularly individual citizens. This enhanced interaction may support Government responsiveness and relevance by allowing citizens to better express their needs, participate in and influence policymaking, comment on policy implementation,

provide feedback on government services (on and off-line services) and file complaints, among other activities. In Mongolia, for example, a model online consultation facility has been created for engaging citizen participation. The site includes a legislative forum designed for citizen comments on the specific laws posted on the site and a policy forum for discussion about existing or proposed policies.[15]

V. What facilitates or hinders innovation in public administration?

24. To understand what facilitates or hinders innovation in governance, we should first look at how innovation in governance occurs and what is involved in the process of innovation. Innovation can be induced from an outside actor (such as the case of the European Union and its accession policy) or it can be internally driven. Both are important triggers of change. Innovations can occur at all levels of government, i.e., central and local levels. They can also be jump-started by citizens with the Government playing only a facilitating role. There are a number of examples of where people have come together to solve a problem affecting the whole community. In Croatia, for instance, the collaboration between judges, law professors, lawyers and law students, working together in an NGO, has resulted in a web-based legal information infrastructure, called the Judges' web, in order to improve the transparency, efficiency of and access to the judicial system of Croatia. The Judges' web is considered one of the most innovative practices in the Croatian judicial administration, and its efforts have been recognized and praised by the Ministry of Justice to the extent that the project has been incorporated into the overall legal reform strategy. Studies have also shown that there is no direct link between political orientation and good government practices.[5] It is possible to identify innovative programmes regardless of the party in favour. The same can be said about size and population. It has been recorded that good Government practices occur in small municipalities, as well as in heavily populated areas, and that size is not a determinant factor for innovation to occur, nor are financial resources, as we will see later on. It is also often argued that innovations require political support, but evidence has shown that that is not always true.

25. Innovations occur for different reasons: a crisis, regime change, new leadership, opportunities or challenges. In general, people do not start out by deciding that they are going to innovate; they start by solving a problem in a way that they or others later realize is innovative. Experience shows that key factors in the success of an innovation include:

- Effective leadership (but "invisible", i.e., the leader chooses not to personalize the innovation)
- Inclusiveness, empowerment and commitment of all stakeholders (building teams and partnerships)
- Setting targets and establishing a conducive environment in which these targets can be reached
- A monitoring mechanism to measure change against established benchmarks
- A reward system that establishes accountability, enhances creative thinking and unleashes innovative abilities that otherwise could not be expressed

26. In terms of mechanics, innovation in governance involves agents of change, processes and mechanisms, as well as value systems and normative orders, technology and resources (not necessarily financial). Captains of innovation usually take risks without knowing the end result of their actions. In some cases they achieve successful results, but when they do not, failures can be disruptive for an organization that relies on continuity and a certain degree of stability and strict accountability. This has a tendency to restrain innovation in the public sector sphere. Factors that can hinder innovation in Government include lip service and administrative formalism (adopting an innovation because it looks modern, but without anything behind it); a change in a law or adoption of a practice without reference to contextual variables; structural/institutional barriers that inhibit the implementation of an innovation; institutions that do not allow risk-taking; "personalization" of the innovation by the leader or inertia of public officials who view an innovation as an exclusive prerogative of top managers in the organization. Financial resources cannot be counted as a factor that hinders innovation. In fact, many cases have proven that it is precisely the lack of funds that has triggered creativity and led to innovations in governance.

27. As much as innovations are important, it is also necessary to focus on the organizational dimension that leads to innovations. In this sense, the analysis of an innovation should be a two-step process: understanding the innovation and the organizational characteristics that lead to innovation. Scholars and practitioners are increasingly focusing on how to transform public organizations into learning and innovative organizations, rather than exclusively on how to promote single innovations.

VI. What can Governments do to create an enabling environment for innovation in public administration?

28. Everyone is for innovation yet it is very difficult to do. It takes time and energy and public servants have enough trouble coping with their current responsibilities. "Once identified as an innovation that works and the risk now diminished, innovations can spread rather quickly and are often improved or expanded".[16] A number of factors are critical to building an enabling environment for innovation, including (a) effective leadership; (b) organizational culture supportive of innovation; (c) promotion of teamwork and partnerships; (d) promotion of lifelong learning; (e) promotion of diversity; (f) monitoring the implementation of innovation; and (g) knowledge-sharing and networking.

29. As mentioned above, effective leadership is critical for the success of any innovation in governance. Strategic leadership capacity-building is an important tool to foster innovations in governance. Schools of public administration, international organizations, centres on innovation in governance and academic institutions can play a key role in this respect. Advocacy and awareness-building activities, including conferences and workshops on innovations, can also be of critical importance. Generally speaking, awareness needs to be built around the concept of what it means to be a strategic leader in the public sector. Experience has shown that strategic leaders encourage responsible risk-taking at mid- and other levels/front lines, and are open to good ideas, whatever their source, whether emanating from citizens, from inside the Government or from other Governments. It has also been

demonstrated that the type of leadership affects the sustainability of an innovation. If an innovation is based on a leader and it is not institutionalized, the innovation will die as soon as there is a change in leadership. The role of an effective leader is thus to build capacity and devolve responsibility and authority so that the innovation introduced can survive his or her departure. Accordingly, leaders that have avoided the "I syndrome" and used more inclusive language (my community) have achieved more sustainable results, as in the case of the Mayor of Bogota, Colombia, who involved the whole community in addressing the shortage of water in the city.[17]

30. With regard to the organizational culture supportive of innovation, a new mind-set or organizational culture, which places emphasis on thinking about the possible, rather than the obstacles encountered in tackling specific problems, should be promoted through different mechanisms, including recruitment mechanisms, socialization upon entry in the public service, training, fair performance appraisal system, rewards, recognition and latitude to experiment. To build a culture supportive of innovation, it is necessary to promote an organizational environment based on shared leadership and trust, i.e., an organization that promotes a sense of leadership and ownership among all employees who are seen and act as leaders in their own sphere of competence and feel empowered to take proactive measures. If public servants perceive their jobs as repetitive and mechanical, i.e., with no margin of autonomy, innovation and new solutions become less likely. On the contrary, when they feel empowered and take responsibility, the organization as a whole benefits and the public servant's professional pride and satisfaction are enhanced. In this culture, managers do not categorically reject new ideas as interruption, thus giving a strong negative message. Instead, they welcome new ideas and new approaches, and are ready to consider their potential value.

31. With respect to the promotion of teamwork and partnerships, it is well known that teams bring together people with complementary skills and experiences that exceed the capacity of any one of the members. Teams facilitate the breaking down of barriers between genders, age groups, races, ethnic groups and geographic biases. The communication skills and networks that successful teams develop create a capacity to respond quickly and flexibly to new problems and changing environment. However, teamwork is not easy, and training on team-building and how to negotiate partnerships should be encouraged in the public sector, as well as new organizational arrangements to work in partnership with civil society and the private sector. Building trust, as well as legitimacy and partnerships, are critical to the feasibility and sustainability of innovations in governance. As such, a peer-to-peer exchange, rather than a donor-recipient scenario, is preferable for sustainability of innovations. In a number of cases, it has been shown that asking the population to be involved in the solution of a pressing problem from the beginning and making it part of the solution has brought about impressive results. There is strong evidence that impositions from above (such as imposing drastic solutions on the population by limiting the water supply at intervals of time) are not as effective as changing the habits of citizens through participatory mechanisms. One way of effecting cultural change is by changing patterns of behaviour; this can be done through, for example, the use of narratives, i.e., explaining through different means of communication (including newspapers and television) why an innovation is being introduced, what people can do to help achieve the desired goal and what processes are involved.

32. Another critical factor for the development and diffusion of innovation in public service delivery is well-educated and well-trained public sector employees.

Public officials should be trained to embrace a culture of learning and to see themselves as active agents of change, as underscored by the Committee of Experts on Public Administration at its first meeting in 2002. It is impossible to introduce innovations in public organizations without continuous upgrading the knowledge and skills of employees, or without them having access to recent developments in their respective areas of expertise. Currently, distance learning offers enormous cost-effective opportunities for continuous education. Diversity can also be a source of innovative ideas and creative solutions to problems since it brings together different backgrounds and ways of thinking.

33. Innovation must be oriented to achieving measurable progress. Without a well-planned and managed approach, the routine of day-to-day operations takes over. One response to that may be developing benchmarks against which to judge the success of innovation efforts. For example, the Ministry of Government Administration and Home Affairs of the Government of the Republic of Korea has developed in 2005 a government innovation index, which is a tool to gauge the level of innovation of organizations in the public sector. The index helps organizations to diagnose levels of innovation, identify weak areas and develop action plans to fortify their innovation capacities.[18] The overall results of the index can serve as a reference for national innovation strategies. Documenting progress in innovation efforts can provide material for reference to other innovators, within and outside a specific country, who wish to learn from others successes, as discussed in the following pages.

VII. Methodologies for sharing and adapting innovations in governance and public administration

34. Sharing of information per se is not enough to enable countries to adapt innovations to their own administrative system. Successful practices are usually documented by example, resulting in only limited transfer of knowledge and ideas between countries and a tendency to "reinvent the wheel". In order to maximize the benefit of sharing successful practices among countries and to provide more effective assistance to Governments interested in replicating specific innovations in public administration, it is necessary to develop a set of tools and methodologies to identify the validity and transferability of national practices and experiences, and the steps and requirements of the implementation process. For a country to adapt an innovation from another context (or whether the federal level within a country can benefit from an innovation at the local level or vice-versa), it is necessary to evaluate (a) whether that particular experience is indeed successful; (b) whether it is transferable to another country; (c) whether the country on the receiving end has the capacity to implement such a practice; and (d) to identify suitable approaches and methodologies for the replication of successful practices.

A. Assessment and transferability of innovations

35. Transferring innovations and successful practices is about knowledge transfer. It implies transferring ideas, as well as know-how, skills and lessons learned in the implementation process of an innovation. The transfer of an innovation may be described as "a structured learning process based on knowledge derived from experience coupled with human expertise capable of transforming that knowledge

into social action".[19] In line with this definition, the idea behind a specific innovation is more important than the innovation itself. Although an innovation in Government may be in relative terms a successful practice within a specific country, it might not lend itself to being replicated in other parts of the world because of the unique attributes of the case. It could be that a particular innovation has been implemented to respond to a very specific need within a certain administration and that the same needs are not felt in other administrations. Or it could be that because of the very particular characteristics of a central or local government administration, the best practice is not transferable. Therefore, practices, which were successful in one country, should not be blindly reproduced in another. Instead, their merits should be studied and tailored to local circumstances. There is evidence that a good practice is transferable when it is generic, adds value and involves simple processes and quick wins, is cost-effective, addresses an expressed or felt need among replicators and is effective. That is to say, if others have the same problem and the innovation has the potential to be useful, then it is transferable. Thus, transferability implies matching demand with supply for knowledge, expertise and experience.

B. Capacity to absorb an innovation

36. Innovation requires processes of adaptation, anticipation and openness to change. It is change that provides the opportunity to achieve new and different approaches. A precondition for replicating a best practice is that the Government that is implementing it has the necessary capacity to do so. Each organization is different and faces varied situations at particular points in time. The techniques required to promote organizational innovation must therefore be context specific. In other words, one size does not fit all. In order to adapt a successful practice, a number of steps can be followed, including (a) ensuring that the information about the successful practice, both in terms of its components and expected outcomes, is disseminated among those who will be responsible for its implementation and those who will benefit from the innovation; (b) putting in place teams to replicate the practice; (c) formulating a clear adoption policy and process; and (d) measuring and reporting progress on the implementation process to assess sustainability.

37. In terms of selecting what to replicate, it should be the recipient entity to define the characteristics of the innovation it can use. There are also different degrees of transfers, which include copying, emulation, mixtures, inspiration, etc. A number of instruments can be used to absorb a successful practice, including institutions and facilitators of the learning process and tools and guidelines. It is also useful to encourage adaptation rather than adoption, foster integration of monitoring and evaluation, take into account cultural considerations when designing transfer plans and celebrate incremental successes. In general, an innovation will be successfully adopted in other contexts if social and political actors in the recipient context see the problem addressed as a relevant public issue.

38. The knowledge factor in adapting a successful practice is also quite important. This relates to how officials are trained, their experience, their tolerance for change and other factors. Capacity-building requires tools and techniques that can build the ability of public officials to understand their own context and to achieve higher self-awareness of innovation possibilities and constraints within their organization. When selecting a specific innovation as a possible solution to a perceived problem, the organization that adapts the innovation is simultaneously part of the

dissemination process and of the creative process. Yet, if local conditions are not ripe, taking innovations from other contexts will not result in successful innovation adoption and diffusion. In order to absorb a best practice or the idea behind a best practice, the following elements should be taken into consideration: political culture; administrative culture and heritage; reform initiation among local actors; human resources; legal framework and regulatory issues; and leadership.

39. In terms of sustainability, there is broad agreement that innovations can be sustainable only if the new practices are integrated and embedded into daily operational procedures. That is, if they are institutionalized; if ownership by stakeholders is promoted; if the introduction of a new practice is accompanied by capacity-building (recruitment, placement, training, motivation); if sustainable economic resources, regardless of external funding, are guaranteed; if communication networks are established; and if a balanced and equitable distribution of benefits across the community is established in terms of socio-economic classes and other criteria. Moreover, it is necessary to institutionalize monitoring and evaluation procedures within the implementation and evaluation processes and establish a quality assurance system.

C. Methodologies for the replication of successful practices

40. Successful practices and innovations can be effectively transferred to other jurisdictions, and there is ample evidence that it can be done.[20] In order to facilitate the replication of a best practice in a specific national context (and once all of the above criteria have been satisfied), it is very important to identify a set of measures that can assist interested Governments in the transfer process and plan to use the acquired knowledge and to put it into practice. The creation of knowledge networks, where successful innovations are arranged in categories such as service delivery, regulation, consultation and partnership, governance, horizontality, etc., including the contact information of the innovators, can be a first important step. People who have taken risks and conducted successful innovations are proud of what they have achieved and are usually eager to share their knowledge. Placing the submissions on a database with a good search engine is, however, not sufficient since innovators focus on specific achievements and may not be aware of the broader implications of their innovation.

41. The transfer process begins by matching demand with supply by documenting and exchanging successful solutions through an intermediary, including international organizations, that is knowledgeable about successful practices. There are a number of steps that can be followed. The first step involves matching demand with supply, where the intermediary plays the role of a catalyst. The second step defines the scope of the transfer, with the intermediary acting as a broker between the two parties. The third step refers to the adaptation of the innovation to local conditions. Here, the role of the intermediary is that of a facilitator. The final step covers the actual implementation of the transfer and its evaluation. Here the intermediary is an evaluator. Awareness-building and media involvement are included throughout the four-step process, along with monitoring and evaluation.

42. There are a number of instruments that can be adopted to assist Governments in adapting innovations, including information-sharing and knowledge networks; twinning arrangements and practitioner-to-practitioner arrangements — engaging in

different jurisdictions; study tours with action planning; staff exchange; transfer guidelines; and awards. Tools and processes to be used in a replication process must encourage adaptation, not adoption, of the exemplary practice. In particular, peer-to-peer exchanges, including city-to-city transfers, are very effective since cities that are socially and economically similar often share problems with the same characteristics and are able to form cooperative solutions. As can be inferred, each of these approaches has strengths and weaknesses. Therefore, when adapting an innovation or successful practice, an analysis of the different approaches should be undertaken in order to determine the right mix of ingredients to fit the specific context.

VIII. Recommendations

43. In view of the above, and in order to promote innovation in governance to achieve the Millennium Development Goals, knowledge sharing of innovations and successful practices should be further promoted. This can be done by (a) maximizing the use of the United Nations Global On-line Network on Public Administration and Finance (UNPAN) as a repository of innovations in governance; (b) conducting analytical research on innovations in governance; (c) holding workshops on innovations for government officials; and (d) documenting and disseminating knowledge on innovations, including the achievements of the winners of the United Nations Public Service Awards. In this respect, the promotion of a standardized reporting format would be very useful, as well as the documentation of perceived problems and obstacles and how to overcome them, the roles, responsibilities and various contributions of different actors, and the factors leading to sustainability. Case studies could be prepared as teaching/learning resources in leadership capacity-building programmes. The establishment of networks of innovators in governance and public administration, which pool knowledge and expertise on innovations in specific themes and within specific regions, can also be an important means to disseminate knowledge and raise awareness among public officials of existing innovations in governance.

44. The transfer and adaptation of innovations in governance should also be enhanced by (a) strengthening the role of the Secretariat as a catalyst in the transfer process; (b) preparing customized guidelines for the transfer of successful practices and other training material; and (c) providing leadership capacity-building programmes on innovations. The exchange of information and experience among Governments (be it at the central or local levels) is also critical to facilitate the adaptation of an innovation, and it can be greatly facilitated by intermediary entities such as international, bilateral, and national organizations, universities, think tanks and NGOs. The role of intermediaries is an important aspect in this process as they provide the necessary guidance and expertise for the successful implementation and continuation of a project. Networks, on the other hand, provide the necessary information for transfers and exchanges, promote the idea of mutual collaboration and serve as avenues for effective communications. Within this context, the role of the Secretariat could be strengthened. In terms of promoting innovations and governance, and tools and guidelines to facilitate learning and the exchange of ideas, the Division for Public Administration and Development Management can build on the work that is being undertaken within the framework of its Programme on Innovation in Public Administration in the Euro-Mediterranean Region.

45. Attention should also be given to combining successful practices with good policies and legislation, and to mainstreaming national successful practices and knowledge systems as policy tools. Governments should be encouraged to adopt principles that support innovation in the public sector and the Secretariat could play a relevant role in facilitating the development of policies that encourage innovation in the public sector.

46. Finally, in order to maximize the chances of success of transferability, greater use of the documentation of the United Nations Public Service Award should be encouraged, as well as greater involvement of its winners, to spearhead transfer efforts and to foster willingness and commitment by inviting them to take part in expert group meetings and other national workshops.

Notes

[1] United Nations Millennium Project report, *Investing in Development: A Practical Plan to Achieve the Millennium Development Goals* (New York, 2005).

[2] See *Official Records of the Economic and Social Council, 2005, Supplement No. 24* (E/2005/44).

[3] The present paper has incorporated some of the key ideas that emerged during an expert meeting on methodologies for the transfer of innovations and best practices, organized by the Department of Economic and Social Affairs in July 2005 in the United Republic of Tanzania.

[4] For a more extensive analysis of these four trends, see United Nations *Human Resources for Effective Public Administration in a Globalized World* (ST/ESA/PAD/SER.E/65).

[5] See Lopez, Tonatiuh Guillen, "Local capacities for adaptation of innovative ideas and practices: lessons from municipalities in Mexico", in *Innovations in Governance and Public Administration: Replicating What Works* (ST/ESA/PAD/SER.E/72).

[6] The term "best practice" will be used here with the understanding that it has many limitations and that "successful practices" is, as underlined by the Committee of Experts on Public Administration, a much more pertinent term.

[7] See *Official Records of the General Assembly, Fiftieth Session, Supplement No. 37* (A/50/37).

[8] See www.unpan.org/dpepa_psaward.asp.

[9] See www.impumelelo.org.za.

[10] See www.innovations.harvard.edu.

[11] See *Citizen Participation on Pro-poor Budgeting* (United Nations publication Sales No. E.05.II.H.3).

[12] The Division for Public Administration and Development Management is developing adaptations of the Citizens' Report Cards in cooperation with a number of developing countries' audit institutions. It is also devising programmes to build capacity of developing countries' audit institutions to engage civil society in auditing performance related to service delivery. Technical cooperation activities have been launched to build capacities to empower local authorities to better address local needs, improve use of budgetary resources allocated to the poor, provide data analysis of regional and district disparities and empower local stakeholders to enhance their participation in the preparation, evaluation and revision of the Poverty Reduction Strategy Papers.

[13] *World Public Sector Report* (United Nations publication, Sales No. E.03.II.H.3).

[14] "Broadband refers to telecommunications in which a wide band of frequencies is available to transmit information. As a result, more information can be transmitted in a given amount of time", *World Public Sector Report 2003*, op. cit.

[15] See http://open-government.mn.

[16] See Galimberti, Joseph, "Adaptation of best practices: the experience of the Institute of Public Administration of Canada", in *Innovations in Governance and Public Administration*, op. cit.

[17] See www.arashi.com/pipermail/ccpg/2004ql/001294.html.

[18] See www.innovationkorea.gii.

[19] See www.bestpractices.org.

[20] For example, 60 per cent of the winners of the IPAC Award are replicated throughout Canada, as well as many of the innovations of Awards programmes from, for example, Brazil, Mexico, the Philippines, etc. See *Innovations in Government and Public Administration*, op. cit.

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Searching for a bottom-up approach and methodologies for developing foundations and principles of sound public administration

Bottom-up approach and methodologies for developing foundations and principles of sound public administration: questionnaires

Note by the Secretariat

Summary

The questionnaires presented in this paper are aimed at generating relevant information on bottom-up strategies that could be considered for adoption by countries at different stages of development. The intention is to produce an instrument which would solicit views from various strata of citizens on the principles that they consider fundamental in guiding the performance of public administration and on how best to involve citizens in the governance process and, by so doing, reinforce their trust in arrangements, institutions and practices impacting on their lives. A logical corollary to this is that the will and the capacity to participate will be among the objects of the inquiry into measures deemed adequate at different times and places to achieve the objectives of engaged and bottom-up governance.

The purpose of the exercise is not to rank States on any engaged governance scale, or to sit in judgment over the systems adopted at any time or place. The aim is rather to solicit the views of three principal categories of stakeholder (senior Government officials, opinion leaders and individual households) on the strategies to be adopted in constructing a set of principles and foundations for public administration founded on the doctrine of citizen participation. The inclusion of the citizen — the so-called "ordinary man or woman in the street" — among the

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respondents is justifiable, considering that the whole idea of bottom-up public administration revolves around the citizen, and the extent to which he or she is able to build, and operate within, networks capable of exerting pressure on the State leviathan and leveraging improvements in service delivery standards.

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I. Background

1. While bottom-up approaches and methodologies for developing sound principles of public administration have been discussed at national and international gatherings, the decision to explore the theme in a systematic and sustained manner was taken in April 2005 by the Committee of Experts on Public Administration. Convinced that Governments worldwide stand to benefit from involving the citizenry in decision-making processes, the Committee, at its fourth session, requested the Secretariat to develop a questionnaire aimed at generating relevant information on bottom-up strategies that might be considered for adoption by countries at different stages of development. The intention is to produce an instrument which would solicit views on how best to involve citizens in the governance process and, by so doing, reinforce their trust in arrangements, institutions and practices impacting on their lives. A logical corollary to this is that the will and the capacity to participate will be among the objects of the inquiry into measures deemed adequate at different times and places to achieve the objectives of engaged and bottom-up governance.

II. Underlying assumptions

2. Before proceeding with the drafting of questionnaires, the Division for Public Administration and Management adopted the following assumptions:

(a) While civic engagement is indispensable to the attainment of the objectives of good governance and sound public administration, there is as yet no model that totally replicates the ideal;

(b) Public administration principles founded on bottom-up doctrines stand a good chance of being widely adopted if such principles are backed by empirical studies indicating how and with what degree of success they have been applied within and across countries;

(c) Even after the necessary empirical studies have been undertaken, it will still be unrealistic to expect to see a model of civic engagement in governance and public administration that is uniformly applicable across cultures and over changing epochs;

(d) Countries in different parts of the world have applied a variety of measures and strategies that could reasonably be described as bottom-up, albeit each with its own unique characteristics;

(e) Regardless of cultural and other differences, bottom-up approaches have to surmount a few common challenges, the most prominent being that of building consensus around the measures needed to enhance the service delivery capacities of, and to strengthen public trust in, governance and public administration institutions;

(f) Progress towards a convergence of views on engaged governance is likely to be hastened (or facilitated) by the launching and implementation of a cross-cultural research project which, among other things, captures the perceptions of three classes of stakeholders, namely, top Government officials; corporate, civic and national opinion leaders; and individual citizens/households;

(g) To capture the perceptions and attitudes of all the principal stakeholders, it is necessary to develop three questionnaires instead of the one originally envisaged.

III. Objectives and overview of the three research instruments

3. On the basis of the preceding assumptions, the Division developed three instruments aimed broadly at generating empirical data on respondents' perceptions on the methodologies to be adopted to involve the citizen in the enunciation, validation, and application of public administration principles. It should be emphasized that the purpose of the exercise is not to rank States on any engaged governance scale, or to sit in judgment over the systems adopted at any time or place. Rather, the aim is to solicit the views of three principal stakeholders (senior Government officials, opinion leaders and individual households) on the strategies to be adopted in constructing a new public administration system founded on the doctrine of citizen participation.

4. The questionnaires individually and collectively address broadly four issues, namely, the respondents' notion of what constitutes sound public administration principles; their definition of a "bottom-up" approach or strategy (including its variants and derivatives); their views on how public administration principles could be made to respond to citizens' concerns; and their recommendations on the steps to be taken to eliminate obstacles to the effective application of citizen-oriented public administration principles.

5. It is fair to ask whether the questionnaires are not, in their current forms, too lengthy. The Division in fact was initially inclined to limit the number of questions. However, in view of the fact that the bottom-up concept is subject to different interpretations, and against the background of the complex set of relationships that need to be probed to understand how the concept works from one place to another, the Division thought it wise to admit as many questions as need answering.

6. Fortunately, most of the questions posed in the questionnaires are structured and coded rather than open-ended. This should make it possible to elicit responses that can be easily interpreted and analysed.

7. Another issue that the Division had to resolve is that of the number of questionnaires to prepare. Proceeding from the underlying assumptions stated in paragraph 2 above, it settled on three questionnaires (for senior Government officials, opinion leaders and individual citizens) rather than one. It is obvious why Government officials should be identified as a key target group in a bottom-up governance inquiry. As individuals entrusted with the authority to be exercised in pursuance of the sovereign powers of a specific State, Government officials exert tremendous influence on the shape and direction of public administration and on the scope and limits of "engaged governance". At the very least, they assist in enacting laws and in formulating policies which determine the role of key institutions, particularly elected local authorities, the field offices of central Government and civic and other types of non-governmental organizations.

8. The inclusion of the citizen — the so-called "ordinary man or woman in the street" — is likewise easily justifiable, considering that the whole idea of bottom-up public administration revolves around the citizen, and the extent to which he or she

is able to build, and operate within, networks capable of exerting pressure on the State leviathan and leveraging improvements in service delivery standards.

9. What might at first glance appear difficult to defend is the identification of "opinion leaders" as a separate category whose role is critical to our understanding of the impact and effectiveness of bottom-up strategies. Yet, without probing the contributions of the opinion leaders, we would be leaving out a category that is strategically placed between the State and the people and is capable, from this intermediate vantage point, of corroborating the views expressed by other stakeholders. Needless to add that, as bona fide and theoretically enlightened citizens, the opinion leaders hold perceptions that could not be overlooked when examining the range and impact of institutions established in pursuit of the objective of engaged governance.

Questionnaire 1
Policymakers and senior government officials

10. The first instrument is designed to obtain the views of policymakers and senior career officials on contemporary public administration principles and practices and on the interface between both and the ordinary citizen. The instrument is divided into five substantive sections, of which the first solicits the respondent's views on selected public administration principles; the second explores the range and effectiveness of institutional mechanisms for civic participation in public administration processes; the third seeks the views of the respondent on the role of the citizen in service delivery; the fourth asks for the respondent's opinions on the specific issue of professionalism and political impartiality of the career service; and the fifth focuses on public officials' responsiveness and accountability to the citizen. The last part of the questionnaire solicits basic information on each respondent.

Questionnaire 2
Opinion leaders

11. The second questionnaire targets the "opinion leaders", a loosely defined category that is positioned between the Government and the people. This intermediate category includes, but is by no means limited to, corporate executives, civic and community leaders, social commentators, trade union officials, the clergy and leading academics. The questionnaire gauges the respondent's opinions on a variety of issues, notably public administration principles; citizen involvement in public administration processes and in service delivery; professionalism and political impartiality; and the responsiveness and accountability of public officials to the citizea. The concluding part of the questionnaire is essentially biographical and is meant to help in the process of disaggregating the responses to the substantive questions.

Questionnaire 3
Individual citizens/households

12. The third instrument is designed to solicit data on the cognitive and affective orientations of those loosely referred to as "ordinary citizens" — the beneficiaries of

policy choices or victims of governance missteps, depending on changing circumstances. It is divided into four main sections, the first focusing on the respondent's views on public administration principles; the second on citizen participation; the third on perceptions of the service delivery systems that should be in place; and the fourth on accountability of public institutions to civil society. Like questionnaire 2, the third instrument has a final section seeking information on the respondent's demographic features.

IV. Implementation plan

13. Assuming that the Committee will wish to pursue the matter further, the Division hopes to develop a project proposal on the inauguration of a cross-cultural research study on bottom-up and engaged governance approaches to developing foundations and principles of sound public administration. The proposal will not only clarify the objectives of the exercise but will include a budget reflecting the activities to be undertaken and the outputs to be produced.

14. The activities envisaged under the project include:

(a) Research design;

(b) Preparation of a project document and resource mobilization;

(c) Testing of the three questionnaires (if possible, in the New York metropolitan area and in collaboration with a New York-based university);

(d) Conversion of the three questionnaires into electronic format, to allow for online completion and submission along with conventional modes of administration;

(e) Development/adaptation of software for data analysis and translation;

(f) Mailing (by conventional and electronic modes) of questionnaire 1 to Government officials of all United Nations Member States;

(g) On the basis of the responses to questionnaire 1, selection of a representative sample of countries from each region to participate in the next stage (i.e., administration of questionnaires 2 and 3);

(h) Identification of partner institutions to administer questionnaires 2 and 3 in sample/selected countries;

(i) Conduct of research methodology workshops for national partner institutions (with particular emphasis on questionnaires 2 and 3 and how they are to be completed);

(j) Translation of questionnaires 2 and 3 into local languages (by partner institutions);

(k) Conduct of questionnaire administration workshops for research associates and assistants in national partner institutions (in each selected country);

(l) Administration of questionnaires 2 and 3 in local languages (and retranslation of the responses into English);

(m) Project monitoring and progress reporting;

(n) Transmission of responses (by conventional and electronic means);

(o) Data storage, tabulation, analysis and interpretation (using appropriate computer software);

(p) Report writing;

(q) Decision of material to include in flagship publication(s);

(r) Exploration of other dissemination outlets.

15. In light of the preceding observations, it is recommended that the Committee vet the three questionnaires prepared by the Division and give its approval for the final drafts to be administered as part of a major cross-cultural study on bottom-up strategies for developing public administration principles. The Committee is further requested to appeal to Member States and the donor community to lend their full support to the research project.

Annex

Questionnaires

Questionnaire 1: For Policy Makers and Senior Career Officials

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

i. Neutrality
ii. Legality
iii. Continuity
iv. Proximity and accessibility of services to citizens
v. Participation and consultation
vi. Mediation
vii. Monitoring and evaluation of services
viii. Transparency and information
ix. Quality
x. Effectiveness
xi. Efficiency
xii. Ethics
xiii. Integrity
xiv. Accountability
xv. Reliability
xvi. Confidentiality
xvii. Speed and accuracy
xviii. Professionalism
xix. Responsiveness
xx. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION IN PUBLIC ADMINISTRATION PROCESSES

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services or should this be reserved to Public servants only?

i. Should be reserved to Public Servants only
ii. Citizens should always participate
iii. Citizens should participate only in specific activities
iv. I do not know

2: If you believe that citizens should participate, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

i. .....

ii. .....

3: Do you believe that any of the following measures will promote citizen involvement in public administration processes (Check YES or NO, as appropriate):

i. Routinization/institutionalization of civic engagement in policy analytic and options identification processes (Yes/No)?
ii. Establishment of formal institutional mechanisms to facilitate citizen participation in local-level development planning and management (Yes/No)?
iii. Establishment of formal institutional mechanisms to facilitate citizen participation in national (i.e., Ministerial and Departmental) strategic planning process (Yes/No)?
iv. Investment in civic education programmes (Yes/No)?
v. Incorporation of bottom-up methodologies in public service training curricula (Yes/No)?
vi. Involvement of the citizen in the evaluation of the performance of career officials (particularly, service delivery agents) (Yes/No)?

4: To what extent should citizens or their representatives be involved in budgeting and resource allocation decisions (check ONE ONLY):

i. To the maximum extent possible (meaning that they should be present at all crucial meetings)
ii. To a large extent (meaning that their inputs should be actively solicited, and their submissions should be given full consideration by the Government at the budget formulation stage)
iii. To a certain extent (meaning that only vocal and insistent demands should be considered at the budget formulation stage)
iv. To no extent, as "external interference" are potential causes of budget "distortions" which should on no account be entertained

5: Do you think that it is necessary to establish a special arrangement making it possible for disadvantaged groups to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

6: Do you think that it is necessary to establish a special arrangement enabling the poor to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

7: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the local level (Yes/No)?

8: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the national level (Yes/No)?

SECTION C: CITIZEN'S ROLE IN SERVICE DELIVERY

1: Is it necessary for the Government to have a special initiative aimed at improving the quality and standards of services provided by various agencies (Yes/No)?

2: Should the private sector be involved in the design and implementation of the initiative (and particularly, the identification of "customer service indicators) (Yes/No)?

3: Should civil society be involved in the design and implementation of the initiative (Yes/No)

4: How should a service delivery initiative view and treat the citizen (check ONE ONLY):

i. Purely as a citizen – with rights and obligations?
ii. Purely as a "customer" with preferences and "tastes"?
iii. As both a citizen and a "customer"?
iv. As neither?
v. As any other kind of individual (i.e.,_____)?

5: Is it necessary to obtain the inputs of citizens and "customers" when developing indicators for the performance of public agencies (Yes/No)?

6: Is it necessary to establish performance standards based on the citizen-determined performance indicators (Yes/No)?

7: Should citizens and "customers" have any say at all in setting these (sometimes "technical", including time, cost, and quality) standards (Yes/No)?

8: Should the opinions (and evaluations) of citizens and "customers" count when Ministries and Departments are taking decisions on the careers of service delivery agents (e.g., decisions on renewal of contracts, promotion, re-assignment, discipline) (Yes/No)?

SECTION D: VIEWS ON PROFESSIONALISM AND POLITICAL IMPARTIALITY

1: Do you think that public service professionalism serves a useful purpose (Check YES/NO)

i. Yes
ii. No
iii. No opinion one way or the other

2: Please check YES/NO against each of the following questions, as appropriate:

i. Is the application of merit in the selection of career officials necessary to maintain public service professionalism (Yes/No)?
ii. Does the principle of "security of tenure" for career officials (irrespective of grade level or occupational category) serve the cause of professionalism (Yes/No)?
iii. Will performance contracting help promote the cause of professionalism (Yes/No)?
iv. Are legal provisions on the representation of minorities and historically disadvantaged groups consistent with the principle of professionalism (Yes/No)?

3: Can you suggest ONE other measure which in your opinion will promote the cause of public service professionalism?

4: Which of the following should determine the selection of candidates for top *policy* making posts (such as Minister, Chairperson of State-owned Enterprises) (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Political loyalty (and membership of a political party)?
iv. Professional, and managerial competence *as well as* political loyalty?
v. Any other consideration (such as_____)

5: Which of the following should determine the selection of candidates for *policy advisory* posts (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Demonstrable political loyalty?
iv. Professional and managerial competence *as well as* political loyalty?
v. Any other consideration (such as_____)

6: Which of the following should determine the selection of candidates for senior career positions (such as Principal/Permanent Secretary) (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Demonstrable political loyalty?
iv. Professional competence *and* political loyalty?
v. Any other consideration (such as_____)

7: Should the appointments of senior career officials be based on the principle of "security of tenure"? (Check YES/NO)?

8: Which of the following classes of appointments should be subject to periodic renewal (check ONE ONLY):

i. Politically sensitive posts
ii. Posts of Permanent Secretary and Heads of Department
iii. Posts entailing frequent contacts with the public (e.g., law enforcement and customs administration posts)
iv. Senior judicial appointments (judges, magistrates, etc.)?
v. All of the above?
vi. None of the above?

SECTION E: PUBLIC OFFICIALS' RESPONSIVENESS AND ACCOUNTABILITY TO THE CITIZEN

1: Which of the following would you say constitute the best way to make public administration responsive to the public? (Tick all the applicable):

i. Strengthening the accountability of public officials to the citizens' elected representatives?
ii. Ensuring full participation of the citizen in setting standards for various categories of public services and in evaluating the actual performance of service delivery agencies against these standards?
iii. Imposing term limits on certain classes of career positions?
iv. Subjecting certain classes of career appointments to direct election?
v. Introducing performance contracts for all classes of posts in the public service?
vi. Introducing performance contracts for senior managers and professionals only?
vii. Any other suggestion (_____)?

2: In your view as an individual, how should petitions against executive misconduct or tyranny be handled to enhance accountability of Public administration to the citizen? (tick all the applicable):

i. be handled by ombudsman
ii. be handled by courts of law
iii. be handled through transparent public hearings
iv. be handled through public commissions of enquiry
v. be handled through special Presidential tribunals
vi. be handled by international tribunals
vii. Any other (write as many as you can think of).

3: Assuming that a particular decision (say, on recruitment, tendering or procurement) is perceived to be unfair, how would you expect the person(s) adversely affected to react (please tick all the applicable):

i. do nothing?
ii. enlist the support of powerful allies such as members of parliament., friends and relatives in high places, community leaders, etc.)?
iii. take the case to party headquarters and ask the leaders to intervene on behalf of a specific applicant?
iv. join hands with reform advocates and become a powerful movement for integrity in public life?
v. submit anonymous petitions?

4: Should investigations of contested decisions be carried out with dispatch, by which is meant, the investigations should be completed and results announced (check ONE):

i. within a short period (in under a month)
ii. over a fairly long period (2 – 6 months)
iii. over a very long period (after 6 months of receipt of petition, or request for review)
iv. for as long as is necessary to establish the facts and arrive at a just conclusion?

5: Should the relief awarded to genuinely aggrieved citizen/client take any of the following forms (check YES/NO against each as appropriate):

i. Depending on the nature of the grievance, formal apology and financial compensation (or damages) (Yes/No);
ii. Formal apology, financial compensation, plus abrogation of contested decision (Yes/No);
iii. abrogation of contested decision only (Yes/No);
iv. formal apology only (Yes/No);
v. institution of disciplinary proceedings against offending decision maker (Yes/No).

6: Is it appropriate to insert in the constitution or the statutes provisions for the recall (by members of the public) of holders of the following classes of posts in order to enhance accountability ?(Check YES/NO to each question):

i. Political functionaries, such as Ministers, Chairpersons of state agencies, (Yes/No)
ii. Senior career officials (Yes/No)
iii. Holders of senior judicial appointments (judges, magistrates, etc.)?
iv. Middle-level officials (Yes/No)
v. Service delivery agents dealing with members of the public on a regular basis (Yes/No)
vi. All categories of public officials (Yes/No)
vii. None of the above (Yes/No)

7: If the central (or local) government contemplates a highly controversial decision, particularly, a decision that is likely to disturb the people's daily routines or affect their livelihoods which of the following measures should it adopt before proceeding further (Check YES/NO against each question, as appropriate):

viii. It should establish a public committee or commission of inquiry whose terms of reference would include soliciting the views of the public and of the affected persons (Yes/No);
ix. It should establish an internal task force/committee with instructions to explore the pros and cons of the proposed decision (Yes/No);
x. It should recruit a firm of consultants to carry out necessary specialized studies and submit recommendations (Yes/No);
xi. The Government, or a duly authorized person, should simply take a decision (e.g., issue an eviction order) and should expect the order to be promptly and strictly enforced (Yes/No);
xii. The agency to implement a disagreeable decision should begin by arranging meetings with leaders/representatives of persons likely to be affected (Yes/No);
xiii. The agency of the Government should mount a publicity campaign aimed at educating the general public about the benefits of the proposed decision (Yes/No);
xiv. The Government should consult widely with the people and with the affected persons, but should still do what it set out to do regardless of what the people and the affected persons say (Yes/No).

SECTION F: GENERAL

1: Kindly state briefly (maximum 250 words) any additional measures that need to be adopted to ensure that on-going citizen-centred initiatives accord with sound principles of public administration.

BIOGRAPHICAL SKETCH

Respondent's Name (OPTIONAL): _____

Profession:

(a) Political appointee
(b) Career Administrator/Manager
(c) Medical, Legal, Engineering etc.
(d) Others

Age (check ONE):

i. Below 20 years
ii. Between 20 and 30 years
iii. Between 31 and 40 years
iv. Between 41 and 50 years
v. Between 51 and 60 years
vi. Above 60 years

Gender (check ONE):

vii. Male
viii. Female

Highest Educational Qualifications (check ONE):

ix. Primary Education (with or without vocational training)
x. Secondary
xi. Secondary (with technical/vocational training)
xii. University (First) Degree or equivalent
xiii. Master's Degree or equivalent
xiv. Theological education
xv. Professional qualifications (e.g., in law, accounting, engineering);
xvi. Doctorate

Questionnaire 2: For Opinion Leaders (in Civil Society, the Private Sector, Academic Community, Trade Unions, the Print and Electronic Media)

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

xxi. Neutrality
xxii. Legality
xxiii. Continuity
xxiv. Proximity and accessibility of services to citizens
xxv. Participation and consultation
xxvi. Mediation
xxvii. Monitoring and evaluation of services
xxviii. Transparency and information
xxix. Quality
xxx. Effectiveness
xxxi. Efficiency
xxxii. Ethics
xxxiii. Integrity
xxxiv. Accountability
xxxv. Reliability
xxxvi. Confidentiality
xxxvii. Speed and accuracy
xxxviii. Professionalism
xxxix. Responsiveness
xl. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION IN PUBLIC ADMINISTRATION PROCESSES

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services?

v. Yes
vi. No
vii. I do not know

2: If yes, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

iii. .....

.....

3: Do you believe that any of the following measures will promote citizen involvement in public administration processes (Check YES or NO, as appropriate):

i. Routinization/institutionalization of civic engagement in policy analytic and options identification processes (Yes/No)?
ii. Establishment of formal institutional mechanisms to facilitate citizen participation in local-level development planning and management (Yes/No)?
iii. Establishment of formal institutional mechanisms to facilitate citizen participation in national (i.e., Ministerial and Departmental) strategic planning process (Yes/No)?
iv. Investment in civic education programmes (Yes/No)?
v. Incorporation of bottom-up methodologies in public service training curricula (Yes/No)?

vi. Involvement of the citizen in the evaluation of the performance of career officials (particularly, service delivery agents) (Yes/No)?

4: To what extent should citizens or their representatives be involved in budgeting and resource allocation decisions (check ONE ONLY):

i. To the maximum extent possible (meaning that they should be present at all crucial meetings)
ii. To a large extent (meaning that their inputs should be actively solicited, and their submissions should be given full consideration by the Government at the budget formulation stage)
iii. To a certain extent (meaning that only vocal and insistent demands should be considered at the budget formulation stage)
iv. To no extent, as "external interference" are potential causes of budget "distortions" which should on no account be entertained

5: Do you think that it is necessary to establish a special arrangement making it possible for disadvantaged groups to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

6: Do you think that it is necessary to establish a special arrangement enabling the poor to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

7: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the local level (Yes/No)?

8: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the national level (Yes/No)?

SECTION C: CITIZEN'S ROLE IN SERVICE DELIVERY

1: Is it necessary for the Government to have a special initiative aimed at improving the quality and standards of services provided by various agencies (Yes/No)?

2: Should the private sector be involved in the design and implementation of the initiative (and particularly, the identification of "customer service indicators) (Yes/No)?

3: Should civil society be involved in the design and implementation of the initiative (Yes/No)

4: How should a service delivery initiative view and treat the citizen (check ONE ONLY):

i. Purely as a citizen – with rights and obligations?
ii. Purely as a "customer" with preferences and "tastes"?
iii. As both a citizen and a "customer"?
iv. As neither?
v. As any other kind of individual (i.e.,_____)?

6: Is it necessary to obtain the inputs of citizens and "customers" when developing indicators for the performance of public agencies (Yes/No)?

8: Is it necessary to establish performance standards based on the citizen-determined performance indicators (Yes/No)?

9: Should citizens and "customers" have any say at all in setting these (sometimes "technical", including time, cost, and quality) standards (Yes/No)?

10: Should the opinions (and evaluations) of citizens and "customers" count when Ministries and Departments a taking decisions on the careers of service delivery agents (e.g., decisions on renewal of contracts, promotion, r assignment, discipline) (Yes/No)?

SECTION D: VIEWS ON PROFESSIONALISM AND POLITICAL IMPARTIALITY

1: Do you think that public service professionalism serves a useful purpose (Check YES/NO)

iv. Yes
v. No
vi. No opinion one way or the other

2: Please check YES/NO against each of the following questions, as appropriate:

v. Is the application of merit in the selection of career officials necessary to maintain public service professionalism (Yes/No)?
vi. Does the principle of "security of tenure" for career officials (irrespective of grade level or occupationa category) serve the cause of professionalism (Yes/No)?
vii. Will performance contracting help promote the cause of professionalism (Yes/No)?
viii. Are legal provisions on the representation of minorities and historically disadvantaged groups consisten with the principle of professionalism (Yes/No)?

3: Can you suggest ONE other measure which in your opinion will promote the cause of public service professionalism?

4: Which of the following should determine the selection of candidates for top *policy* making posts (such as Minister, Chairperson of State-owned Enterprises) (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Political loyalty (and membership of a political party)?
ix. Professional, and managerial competence *as well as* political loyalty?
x. Any other consideration (such as _____)

5: Which of the following should determine the selection of candidates for *policy advisory* posts (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Demonstrable political loyalty?
ix. Professional and managerial competence *as well as* political loyalty?
x. Any other consideration (such as _____)

6: Which of the following should determine the selection of candidates for senior career positions (such as Principal/Permanent Secretary) (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Demonstrable political loyalty?
ix. Professional competence *and* political loyalty?
x. Any other consideration (such as _____)

7: Should the appointments of senior career officials be based on the principle of "security of tenure"? (Check YES/NO)?

8: Which of the following classes of appointments should be subject to periodic renewal (check ONE ONLY):

vii. Politically sensitive posts
viii. Posts of Permanent Secretary and Heads of Department
ix. Posts entailing frequent contacts with the public (e.g., law enforcement and customs administration posts)
x. Senior judicial appointments (judges, magistrates, etc.)?
xi. All of the above?
xii. None of the above?

SECTION E: PUBLIC OFFICIALS' RESPONSIVENESS AND ACCOUNTABILITY TO THE CITIZEN

1: Which of the following would you say constitute the best way to make public administration responsive to the public? (Tick all the applicable):

viii. Strengthening the accountability of public officials to the citizens' elected representatives?
ix. Ensuring full participation of the citizen in setting standards for various categories of public services and in evaluating the actual performance of service delivery agencies against these standards??
x. Imposing term limits on certain classes of career positions?
xi. Subjecting certain classes of career appointments to direct election?
xii. Introducing performance contracts for all classes of posts in the public service?
xiii. Introducing performance contracts for senior managers and professionals only?
xiv. Any other suggestion (_____)?

2: In your view as an individual, how should petitions against executive misconduct or tyranny be handled to enhance accountability of Public administration to the citizen? (tick all the applicable):

viii. be handled by ombudsman
ix. be handled by courts of law
x. be handled through transparent public hearings
xi. be handled through public commissions of enquiry
xii. be handled through special Presidential tribunals
xiii. be handled by international tribunals
xiv. Any other (write as many as you can think of).

3: Assuming that a particular decision (say, on recruitment, tendering or procurement) is perceived to be unfair, how would you expect the person(s) adversely affected to react (please tick all the applicable):

vi. do nothing?
vii. enlist the support of powerful allies such as members of parliament , friends and relatives in high places, community leaders, etc.)?
viii. take the case to party headquarters and ask the leaders to intervene on behalf of a specific applicant?
ix. join hands with reform advocates and become a powerful movement for integrity in public life?
x. submit anonymous petitions?

4: Should investigations of contested decisions be carried out with dispatch, by which is meant, the investigations should be completed and results announced (check ONE):

v. within a short period (in under a month)
vi. over a fairly long period (2 – 6 months)
vii. over a very long period (after 6 months of receipt of petition, or request for review)
viii. for as long as is necessary to establish the facts and arrive at a just conclusion?

5: Should the relief awarded to genuinely aggrieved citizen/client take any of the following forms (check YES/NO against each as appropriate):

vi. Depending on the nature of the grievance, formal apology and financial compensation (or damages) (Yes/No);
vii. Formal apology, financial compensation, plus abrogation of contested decision (Yes/No);

viii. abrogation of contested decision only (Yes/No);
ix. formal apology only (Yes/No);
x. institution of disciplinary proceedings against offending decision maker (Yes/No).

6: Is it appropriate to insert in the constitution or the statutes provisions for the recall (by members of the public) of holders of the following classes of posts in order to enhance accountability ?(Check YES/NO to each question):

i. Political functionaries, such as Ministers, Chairpersons of state agencies, (Yes/No)
ii. Senior career officials (Yes/No)
iii. Holders of senior judicial appointments (judges, magistrates, etc.)?
iv. Middle-level officials (Yes/No)
v. Service delivery agents dealing with members of the public on a regular basis (Yes/No)
vi. All categories of public officials (Yes/No)
vii. None of the above (Yes/No)

7: If the central (or local) government contemplates a highly controversial decision, particularly, a decision that is likely to disturb the people's daily routines or affect their livelihoods which of the following measures should it adopt before proceeding further (Check YES/NO against each question, as appropriate):

i. It should establish a public committee or commission of inquiry whose terms of reference would include soliciting the views of the public and of the affected persons (Yes/No);
ii. It should establish an internal task force/committee with instructions to explore the pros and cons of the proposed decision (Yes/No);
iii. It should recruit a firm of consultants to carry out necessary specialized studies and submit recommendations (Yes/No);
iv. The Government, or a duly authorized person, should simply take a decision (e.g., issue an eviction order) and should expect the order to be promptly and strictly enforced (Yes/No);
v. The agency to implement a disagreeable decision should begin by arranging meetings with leaders/representatives of persons likely to be affected (Yes/No);
vi. The agency of the Government should mount a publicity campaign aimed at educating the general public about the benefits of the proposed decision (Yes/No);
vii. The Government should consult widely with the people and with the affected persons, but should still do what it set out to do regardless of what the people and the affected persons say (Yes/No).

SECTION E: GENERAL

Kindly state briefly (maximum 250 words) any additional measures that need to be adopted to ensure that on-going citizen-centered initiatives accord with sound principles of public administration.

BIOGRAPHICAL SKETCH

Respondent's Name (OPTIONAL):_____
Age (check ONE):

xvii. Below 20 years
xviii. Between 20 and 30 years
xix. Between 31 and 40 years
xx. Between 41 and 50 years
xxi. Between 51 and 60 years
xxii. Above 60 years

Gender (check ONE):

xxiii. Male
xxiv. Female

Highest Educational Qualifications (check ONE):

xxv. Primary Education (with or without vocational training)
xxvi. Secondary
xxvii. Secondary (with technical/vocational training)
xxviii. University (First) Degree or equivalent
xxix. Master's Degree or equivalent
xxx. Theological education
xxxi. Professional qualifications (e.g., in law, accounting, engineering);
xxxii. Doctorate

Occupation (tick ONE):

i. Entrepreneur (Small- or Medium-Size Enterprise, including management/engineering consulting)
ii. Business Executive (Managing, Executive, non-Executive Director)
iii. Senior Civil Servant (Management/Professional Category)
iv. University Teacher/Researcher
v. Cleric (all faiths)
vi. Secondary School Teacher
vii. NGO/CBO Executive/Programme Manager
viii. Trade Union Leader or Official
ix. Other (_____)

Questionnaire 3: For Individual Citizens/Households

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

xli. Neutrality
xlii. Legality
xliii. Continuity
xliv. Proximity and accessibility of services to citizens
xlv. Participation and consultation
xlvi. Mediation
xlvii. Monitoring and evaluation of services
xlviii. Transparency and information
xlix. Quality
l. Effectiveness
li. Efficiency
lii. Ethics
liii. Integrity
liv. Accountability
lv. Reliability
lvi. Confidentiality
lvii. Speed and accuracy
lviii. Professionalism
lix. Responsiveness
lx. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services?

viii. Yes
ix. No
x. I do not know

2: If yes, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

iv. .....

v. .....

3: Do you think that any of the following methods will assist ordinary citizens to participate effectively in public affairs, local and/or national? (check YES/NO, or DON'T KNOW):

i. Organization of referenda and plebiscites on key constitutional, political, or social issues (Yes/No/Don't know)
ii. Establishment of a platform for addressing the special concerns of minorities and disadvantaged groups (Yes/No/Don't know)?
iii. Commissioning or conduct of periodic public opinion polls (Yes/No/Don't know)?
iv. Promotion of access to information (if need be through the passage of Freedom of Information Acts)? (Yes/No/Don't know)

v. Provision of legal and institutional arrangements to facilitate participation by ordinary citizens in Town Hall/Village Council meetings (Yes/No/Don't know)
vi. Provision of legal and institutional arrangements to facilitate participation by the genuinely poor at meetings where decisions are taken on development programmes (Yes/No/Don't know)
vii. Provision of legal and institutional arrangements to facilitate participation by the genuinely poor at meetings (including primaries and electoral colleges) where decisions are taken on the *candidates* to stand for election (Yes/No/Don't know)
viii. Establishment of forums at which the people could meet elected and career officials to raise issues of personal or group concern (Yes/No/Don't know)
ix. Broadening of opportunities for community delegations to present local concerns to national/local government (Yes/No/Don't know).

4: In your view, how seriously should the urban and rural poor take the responsibility to participate in decisions affecting their livelihood and well-being? (check ONE only):

i. Very seriously?
ii. Seriously?
iii. To some extent?
iv. Not seriously?
v. Not at all?
vi. Don't know?

5: In your opinion, which of the following limit the citizens' access to public officials and the services they provide (tick which ever is applicable)

i. The generality of the people who have shown little or no interest in claiming their rights and fulfilling their obligations as citizens of an organized community (Yes/No/Don't know)
ii. Individual citizens for choosing to approach public officials one by one rather than organize in groups to champion the cause of good governance (Yes/No/Don't know)?
iii. The press, for failing to provide adequate civic education (Yes/No/Don't know)
iv. The elite, for failing to provide self-less and exemplary leadership (Yes/No/Don't know)
v. The civil service bureaucracy, for keeping processes cumbersome, bewildering, and mysterious (Yes/No/Don't know)
vi. The political parties, for not educating their followers on the tenets of good governance (Yes/No/Don't know).

SECTION C: RESPONDENT'S VIEWS ON EFFECTIVENESS AND IMPACT OF SERVICE DELIVERY SYSTEMS

1: Which of the following methods is most effective in involving rural communities in food and agriculture development policies? (check ONLY ONE).

i. participation of the communities' representatives in meetings of rural development committees?
ii. reactivation of primary producers' cooperatives and encouragement of producers to work within the cooperatives?
iii. reactivation of the moribund savings and thrift societies?
iv. Any other method (such as_____)?

2: Which of the following methods is most effective in involving urban dwellers in the formulation and implementation of urban development policies (check ONLY ONE):

i. encouragement of urban dwellers to channel their grievances and suggestions through voluntary associations (like Tenants/Landlords', Neighborhood Security, and Environmental Cleanup Associations)?
ii. Co-option of citizen representatives into development committees of local governments?

iii. Empowerment of citizens to recall officials found guilty of dereliction of duties and/or misconduct?
iv. Any other method (such as _____)?

3: Which of the following methods is most effective in enabling the poor to influence the design and implementatio of poverty alleviation programmes? (check ONLY ONE):

i. Channeling of poor people's concerns through NGOs, civic associations and powerful interest groups?
ii. Channeling of poor people's concerns through political parties?
iii. Allowing the poor to nominate own representatives to serve on poverty profiling and eradicatio committees?
iv. Strengthening the institutional linkage between the poor and the agencies responsible for the design an implementation of poverty alleviation projects/programmes?
v. Any other method (such as _____)?

4: Do you think that it is possible for the poor to participate in (check YES/NO against each of the followin questions):

i. the choice of projects to implement in urban/rural areas (Yes/No)
ii. cost-sharing and sundry resource mobilization efforts (Yes/No)
iii. implementation of specific project components, such as site clearing, maintenance of installed facilities (Yes/No)
iv. Project monitoring and reporting, including watching allocation, disbursement and tracking of funds (Yes/No)

5: Please answer YES OR NO to the following questions:

i. The most efficient (and least costly) way to reflect the concerns of the poor in the delivery of essentia services (e.g., health, education, energy distribution, and infrastructure development) is to "out-source" the provision of the services? (Yes/No)?
ii. Privatization of economic goods (such as energy generation, water supply and distribution, and rura telephony) will not only lead to efficient allocation of resources but will also make the service accessible to the poor (Yes/No)?
iii. It is absolutely necessary to involve the beneficiaries (particularly the poor) in the development o indicators/standards for the evaluation of the delivery of public services (Yes/No)?
iv. Members of the public should have opportunities to assess the performance of public officials (such a education, health, medical, and paramedical personnel, judges and law enforcement officials) and bring the clients' complaints to the attention of the officials' superiors (Yes/No)?
v. The public should be made aware of the channels for lodging complaints and for having their grievance redressed (Yes/No)?
vi. The only way to ensure that the services have visible impact on the poor is to involve thei representatives at the critical decision making stages – that is, from the stage of priority setting, through project formulation, to implementation and monitoring (Yes/No)?
vii. The poor are capable of monitoring the efficiency, impact, and equitable provision of essential service (Yes/No)?
viii. The poor have the time and the resources to perform these critical oversight functions (Yes/No)?
ix. The poor or their representatives performing these oversight roles should be compensated for the time spent on civic duties (Yes/No)?
x. The poor are duly motivated to perform these critical oversight functions (Yes/No)?

SECTION D: RESPONDENT'S COMMENTS ON ACCOUNTABILITY OF PUBLIC INSTITUTIONS TO CIVIL SOCIETY

1. Which of the following do you think would increase your knowledge of and information on governance and public administration? (check YES/NO to each question, as appropriate):
    i. Newspapers with national coverage (Yes/No)?
    ii. Regional/provincial newspapers (Yes/No)?
    iii. National, government-run radio/TV station (Yes/No)?
    iv. Private radio/TV stations (Yes/No)?
    v. Foreign newspapers (Yes/No)?
    vi. Foreign radio/TV stations (Yes/No)?
    vii. The internet and electronic domains (Yes/No)?
    viii. Friends and colleagues (Yes/No)?
    ix. Relatives and immediate family members (Yes/No)
    x. Community leaders (Yes/No)?
    xi. Government agencies (Yes/No)?
    xii. Trade or professional associations to which you belong (Yes/No)?

2: To whom do you think the government in general should be accountable (tick all the applicable from the list)
    i. the citizens
    ii. the parliament
    iii. the Judiciary
    iv. the president
    v. others (write down all you can think of)

3: In the event that any person known to you feels aggrieved by an official decision (say, a decision on recruitment, promotion, or contract award), how do you think the person is MOST LIKELY to respond? Will s/he (check only ONE):
    i. fold his/her arms and do nothing?
    ii. enlist the support of powerful allies and seek the protection of M.Ps., friends and relatives in high places, community leaders, etc.)?
    iii. take the case to party headquarters and ask the leaders to intervene on his/her behalf?
    iv. join hands with reform advocates and become a powerful movement for integrity in public life?
    v. Submit anonymous petitions?
    vi. Not applicable (as this is unlikely to be an issue of concern)?

4: What should be the distinguishing features of the procedure established at any time or place to hold public officials accountable? Should the procedure be (check YES or NO, as applicable):
    i. Simple to understand and easy to follow (Yes/No/Don't know)
    ii. Devoid of needless stops and "thirteen signatures" (Yes/No/Don't know)?
    iii. Transparent (with no booby traps) (Yes/No/Don't know)
    iv. Customer/Citizen-friendly (Yes/No/Don't know)
    v. Clear-cut and precise, even if slightly intimidating to the poor and to the average citizen (Yes/No/Don't know)

5: In your view, should petitions against executive misconduct or high-handedness be (check YES or NO to each question, as you deem fit):
    i. Investigated in camera (and not in the full glare of the whole world) (Yes/No)?
    ii. Investigated only when serious allegations are levied (Yes/No)?
    iii. Investigated only when public interest and press coverage intensify (Yes/No)?
    iv. Not be investigated at all (Yes/No)?
    v. Don't know?

RESPONDENT'S SHORT BIOGRAPHY

1: Respondent's Name (OPTIONAL):_____

2: Age (check ONE):

i. Below 20 years
ii. Between 20 and 30 years
iii. Between 31 and 40 years
iv. Between 41 and 50 years
v. Between 51 and 60 years
vi. Above 60 years

3: Gender (check ONE):

i. Male
ii. Female

4: Highest Educational Qualifications (check ONE):

i. No formal education
ii. Primary Education (with or without vocational training)
iii. Secondary
iv. Secondary (with technical/vocational training)
v. University (First) Degree or equivalent
vi. Master's Degree and above
vii. Professional qualifications (e.g., in law, accounting, engineering).

5: Occupation (tick ONE):

i. Private sector employee
ii. Trader
iii. Skilled worker (e.g., mechanic, bricklayer, plumber, hair stylist)
iv. Unskilled labourer
v. Self-employed
vi. Job seeker
vii. Other (_____)